



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/813,696	03/29/2004	Raghunath Vitthal Chaudhari	3097-4015

MORGAN & FINNEGAN, L.L.P.  
 345 Park Avenue  
 New York, NY 10154-0053



CONFIRMATION NO. 6139

## FORMALITIES LETTER



\*OC000000012997370\*

Date Mailed: 06/21/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted***Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The following item(s) appear to have been **omitted** from the application:

- Figure(s) 1-3 described in the specification.

I. Should applicant contend that the above-noted omitted item(s) was in fact deposited in the U.S. Patent and Trademark Office (USPTO) with the nonprovisional application papers, a copy of this Notice and a petition (and \$130.00 petition fee (37 CFR 1.17(h))) with evidence of such deposit **must** be filed within **TWO MONTHS** of the date of this Notice. The petition fee will be refunded if it is determined that the item(s) was received by the USPTO.

II. Should applicant desire to supply the omitted item(s) and accept the date that such omitted item(s) was filed in the USPTO as the filing date of the above-identified application, a copy of this Notice, the omitted item(s) (with a supplemental oath or declaration in compliance with 37 CFR 1.63 and 1.64 referring to such items), and a petition under 37 CFR 1.182 (with the \$130.00 petition fee (37 CFR 1.17(h))) requesting the later filing date **must** be filed within **TWO MONTHS** of the date of this Notice.

Applicant is advised that generally the filing fee required for an application is the filing fee in effect on the filing date accorded the application and that payment of the requisite basic filing fee on a date later than the filing date of the application requires payment of a surcharge (37 CFR 1.16(e)). To avoid processing delays and payment of a surcharge, applicant should submit any balance due for the requisite filing fee based on the later filing date

being requested when submitting the omitted items(s) and the petition (and petition fee) requesting the later filing date.

III. The failure to file a petition (and petition fee) under the above options (I) or (II) within **TWO MONTHS** of the date of this Notice (37 CFR 1.181(f)) will be treated as a constructive acceptance by the applicant of the application as deposited in the USPTO. **THIS TWO MONTH PERIOD IS NOT EXTENDABLE UNDER 37 CFR 1.136(a) or (b)**. In the absence of a timely filed petition in reply to this Notice, the application will maintain a filing date as of the date of deposit of the application papers in the USPTO, and original application papers (*i.e.*, the original disclosure of the invention) will include only those application papers present in the USPTO on the date of deposit.

In the event that applicant elects not to take action pursuant to options (I) or (II) above (thereby constructively electing option (III)), amendment of the specification to renumber the pages consecutively and cancel incomplete sentences caused by any omitted page(s), and/or amendment of the specification to cancel all references to any omitted drawing(s), relabel the drawing figures to be numbered consecutively (if necessary), and correct the references in the specification to the drawing figures to correspond with any relabeled drawing figures, is required. A copy of the drawing figures showing the proposed changes in red ink should accompany with any drawing changes. Such amendment and/or correction to the drawing figures, if necessary, should be by way of preliminary amendment submitted prior to the first Office action to avoid delays in the prosecution of the application.

**SUMMARY OF FEES DUE:**

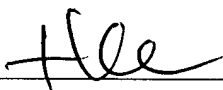
Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

---

*A copy of this notice MUST be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Docket No. 3097-4015

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): RAGHUNATH VITTHAL CHAUDHARI, ET AL.

Group Art Unit: TBA

Serial No.: 10/813,696

Examiner: TBA

Filed: March 29, 2004

For: IMPROVED PROCESS FOR PREPARATION OF ESTERS OF HYDROXY TIGLIC ALDEHYDES

**EXPRESS MAIL CERTIFICATE**

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Express Mail Label No.: EV 498828850 US

Date of Deposit: August 20, 2004

I hereby certify that the following attached paper(s) and/or fee

1. RESPONSE TO "NOTICE TO FILE MISSING PARTS"
2. NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION
3. CHECK \$65.00
4. EXECUTED DECLARATION AND POWER OF ATTORNEY
5. CHANGE OF CORRESPONDENCE ADDRESS
6. RETURN RECEIPT POSTCARD

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Scholastica Constable

(Typed or printed name of person mailing papers(s) and/or fee)

(Signature of person mailing paper(s) and/or fee)

**Correspondence Address:**

MORGAN & FINNEGAN, L.L.P.  
3 World Financial Center  
New York, NY 10281-2101  
(212) 415-8700 Telephone  
(212) 415-8701 Facsimile



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Raghunath Vitthal CHAUDHARI; Rashmi CHANARKAR; Kausik MUKHOPADHYAY;  
and Ashutosh Anant KELKAR  
Group Art Unit: TBA  
Serial No.: 10/813,696  
Examiner: TBA  
Filed: March 29, 2004  
For: IMPROVED PROCESS FOR PREPARATION OF ESTERS OF HYDROXY TIGLIC  
ALDEHYDES

**RESPONSE TO "NOTICE TO FILE MISSING PARTS"**

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In response to the NOTICE TO FILE MISSING PARTS OF APPLICATION--  
FILING DATE GRANTED dated June 21, 2004, Applicants submit herewith the following  
documents for appropriate action by the U.S. Patent and Trademark Office:

- ☒ Copy of Notice to File Missing Parts
- ☒ Copy of Executed Declaration
- ☐ Application Filing Fees
- ☐ Please charge the required fee of \$ \_\_\_\_\_ to deposit account no. 13-4500, Order No. \_\_\_\_\_
- ☒ A check in the amount of \$65.00 in payment of the application filing fees is attached.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. 13-4500, Order No. 3097-4015. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Applicants are not submitting herewith copies of Figure 1-3, as requested, as these Figures were not omitted in the Application, as filed on March 29, 2004. Figures 1-3 are found at the top of the page of drawings also containing Figures 4-6. Applicants will submit corrected drawings more specifically specifying Figures 1-3.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: August 20, 2004

By:



Israel Blum

Reg. No.: 26,710

Correspondence Address:

MORGAN & FINNEGAN, L.L.P.  
3 World Financial Center  
New York, NY 10281-2101  
(212) 415-8700 Telephone  
(212) 415-8701 Facsimile